

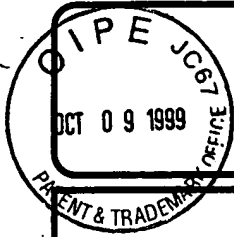
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PTO/SB/29 (2/98)

Approved for use through 09/30/2000. OMB 0851-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## CONTINUED PROSECUTION APPLICATION (CPA) REQUEST TRANSMITTAL

Submit an original, and a duplicate for fee processing.  
(Only for Continuation or Divisional applications under 37 C.F.R. § 1.53(d))

CHECK BOX, if applicable:

☐ **DUPLICATE**

Address to:

Assistant Commissioner for Patents  
Box CPA  
Washington, DC 20231

Attorney Docket No.	NEXTEK-LIGHTING-CPA
First Named Inventor	William G. Wilhelm
Examiner Name	J. Kaplan
Group / Art Unit	2836
Express Mail Label No.	EL268681863US

This is a request for a ☒ continuation or ☐ divisional application under 37 C.F.R. § 1.53(d),  
(continued prosecution application (CPA)) of prior application number 08 / 820,496,  
filed on March 19, 1997 entitled HIGH EFFICIENCY LIGHTING SYSTEM.

### NOTES

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 C.F.R. § 1.61(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. A Notice will be placed on a patent issuing from a CPA, except for reissues and designs, to the effect that the patent issued on a CPA and is subject to the twenty-year patent term provisions of 35 U.S.C. § 154(a)(2). Therefore, the prior application of a CPA may have been filed before, on or after June 8, 1995.

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 C.F.R. § 1.53(d), but must be filed under 37 C.F.R. § 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 C.F.R. § 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 C.F.R. § 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 C.F.R. § 1.78(a).

1. ☐ Enter the unentered amendment previously filed on \_\_\_\_\_  
under 37 C.F.R. § 1.116 in the prior nonprovisional application.
2. ☒ A preliminary amendment is enclosed.
3. This application is filed by fewer than all the inventors named in the prior application, 37 C.F.R. § 1.53(d)(4).
  - a. ☐ DELETE the following inventor(s) named in the prior nonprovisional application:  
.....
  - b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
4. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
5. Information Disclosure Statement (IDS) is enclosed:
  - a. ☐ PTO-1449
  - b. ☐ Copies of IDS Citations

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TECHNOLOGY CENTER 800

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the inventor's case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box CPA, Washington, DC 20231.



CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
TOTAL CLAIMS (37 C.F.R. § 1.18(c) or (j))		100 -20* =	80	x \$ 18 =	\$ 1440
INDEPENDENT CLAIMS (37 C.F.R. § 1.18(b) or (i))		16 -3** =	13	x \$ 78 =	1014
MULTIPLE DEPENDENT CLAIMS (if applicable) (37 C.F.R. § 1.18(d))				+ \$ 0 =	0
				BASIC FEE (37 C.F.R. § 1.18)	760
Total of above Calculations =					3214
Reduction by 50% for filing by small entity (Note 37 C.F.R. §§ 1.9, 1.27 & 1.28).					1607
* Reissue claims in excess of 20 and over original patent. ** Reissue independent claims over original patent.					TOTAL = 1607

## 6. Small entity status:

- a. ☐ A small entity statement is enclosed, if (b) and (c) do not apply.  
 b. ☒ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.  
 c. ☐ Is no longer claimed.

7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 23 - 0120:

- a. ☐ Fees required under 37 C.F.R. § 1.16.  
 b. ☐ Fees required under 37 C.F.R. § 1.17.  
 c. ☐ Fees required under 37 C.F.R. § 1.18.

8. ☒ A check in the amount of \$ 1607 is enclosed.9. ☒ Other: check in the amount of \$ 435 for three month extension together with Request For Three Month Extension**NOTE:**

*The prior application's correspondence address will carry over to this CPA  
UNLESS a new correspondence address is provided below.*

**10. NEW CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Labelor ☐ New correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

Address

City

State

Zip Code

Country

Telephone

Fax

**11. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED**

Name (Print/Type)

Alfred M. Walker

Signature

*Alfred M. Walker*

Registration No. (Attorney/Agent)

29,983

Date

October 10, 1999

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Continuing Prosecution Application (CPA):

APPLICANT: William G. Wilhelm  
SERIAL NO.: 08/820,496 (prior)  
FILED: to be assigned  
EXAMINER: J. Kaplan  
GROUP ART UNIT: 2836  
TITLE: HIGH EFFICIENCY LIGHTING SYSTEM



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Prior Application:

APPLICANT: William G. Wilhelm  
SERIAL NO.: 08/820,496  
FILED: March 19, 1997  
EXAMINER: J. Kaplan  
GROUP ART UNIT: 2836  
MAILING DATE OF ACTION: April 12, 1999  
TITLE: HIGH EFFICIENCY LIGHTING SYSTEM

PRELIMINARY AMENDMENT

Commissioner of Patents  
Box CPA  
Washington DC 20231

Dear Sir:

As a preliminary amendment in conjunction with the filing of a Continuing Prosecution Application (CPA) of the above identified prior application, and in response to the